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SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

the specification of which (check one) is attached hereto or \underline{X} was filed on $\underline{May 25, 2001}$ as Application Serial No. $\underline{09/866,028}$ and was amended on _ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

Lacknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37,

Lacknowledge the duty Code of Federal Regu	to disclose inform lations. Section	nation which is material t 1.56.	to the examination of this application in accordance	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
			2 L Std (a) (d) of any foreign application(s)	for patent or
inventor's certificate lis	ted below and ha	ave also identified below	ates Code, §119(a)-(d) of any foreign application(s) any foreign application for patent or inventor's certif	icate have a
filing date before that	of the applicatio	n on which priority is cla	limed:	
DALL Foreign Applicati	ion(e):		<u>Priorit</u>	<u>y Claimed</u>
Prier Foreign Applicati	ori(s).		<u>Yes</u>	<u>No</u>
Number	Country	Day/Month/Y		
	fitundar Titla 25	United States Code 811	19(e) of any United States provisional applications(s)	listed below
I hereby claim the bene	ill under Tille 35,	United States Code, 31	10(0) orany orange orange	
Coo ettached Apr	ondiv A (liet	ing 1811 S. Provisi	onal Patent Applications)	
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defined in Title 37, Co	de of Federal R	egulations, §1.56 which	occurred between the filing date of the prior applica	allon and th
national or PCT interr	national filing da	te of this application:		`
			OT Detact Applications)	
See Attached Ap	<u>pendix B (lis</u>	ting 19 U.S. and Po	CT Patent Applications)	
Application Ser. No.		Filing Date	Status: Patented, Pending, Abandone	5 u
Application Ser. No.		Filing Date	Status: Patented, Pending, Abandone	b∈
1				





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PATENT TRADEMARK OFFICE

Send correspondence to Genentech, Inc.

South San Francisco, CA 94080

Attn: Elizabeth M. Barnes, Ph.D. Telephone: (650) 225-4461

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor	
Kevin P. Baker	
Inventor's signature	Date
Residence	
14006 Indian Run Drive, Darnestown, Maryland 20878	
Citizenship GB ====================================	
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Full name of second joint inventor, if any	
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Inventor's signature	Date
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Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of third joint inventor, if any	
Dan L. Eaton	
Inventor's signature	Date
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Citizenship US	-
Post Office Address	

Full name of forth inventor	
Napoleone Ferrara	
Inventor's signature	Date
Residence 2090 Pacific Avenue #704, San Francisco, California 94109	
Citizenship US	
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Full name of fifth joint inventor, if any	
Ellen Filvaroff	
Inventor's signature	Date
Residence 538 18 th Avenue, San Francisco, California 94121	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of sixth joint inventor, if any	
Mary E. Gerritsen	
Inventor's signature	Date
Residence 541 Parrott Drive, San Mateo, California 94402	
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Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of seventh inventor	
Audrey Goddard	
Inventor's signature	Date
Residence 110 Congo Street, San Francisco, California 94131	
Citizenship CA	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

Full name of eighth joint inventor, if any		
Paul J. Godowski		
Inventor's signature	Date	
Residence 2627 Easton Drive, Burlingame, California 94010		
Citizenship US		
Post Office Address 1 DNA Way South San Francisco, CA 94080		
Full name of ninth joint inventor, if any		
J. Christopher Grimaldi		
Inventor's signature	Date	
Residence 1434 36 th Avenue, San Francisco, California 94122		
Citizenship US		
Post Office Address 1 DNA Way South San Francisco, CA 94080		
Full name of tenth inventor		
Austin L. Gurney		
Inventor's signature	Date	
Residence 1 Debbie Lane, Belmont, California 94002		
Citizenship US		
Post Office Address 1 DNA Way South San Francisco, CA 94080		
Full name of eleventh joint inventor, if any		
Kenneth J. Hillan		
Inventor's signature	Date	
Residence 64 Seward Street, San Francisco, California 94114		
Citizenship GB		
Post Office Address 1 DNA Way South San Francisco, CA 94080		

Full name of twelfth joint inventor, if any	
Ivar J. Kljavin	
Inventor's signature	Date
Residence 811 Dell Road, Pacifica, California 94044	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of thirteenth inventor	
Mary A. Napier	July 20, 2001
Inventor's signature . hapier	Date
Residence / 1015 Hayne Road, Hillsborough, California 94010	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full-name of fourteenth joint inventor, if any Maigaret Ann Roy	
Inventor's signature	Date
Residence 2960 Webster Street #4, San Francisco, California 94123	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	
Full name of fifteenth joint inventor, if any	
Daniel Tumas	
Inventor's signature	Date
Residence 3 Rae Avenue, Orinda, California 94563	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

Full name of sixteenth inventor		
William I. Wood		
Inventor's signature	Date	
Residence 35 Southdown Court, Hillsborough, California 94010		
Citizenship US		
Post Office Address 1 DNA Way South San Francisco, CA 94080		

APPENDIX A

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications listed below:

60/067,411 filed December 3, 1997;

60/069,334 filed December 11, 1997;

60/069335 filed December 11, 1997;

60/069,278 filed December 11, 1997;

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60/069,696 filed December 16, 1997;

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60/074,086 filed February 9, 1998;

60/074,092 filed February 9, 1998;

60/075,945 filed February 25, 1998;

60/112,850 filed December 16, 1998;

60/113,296 filed December 22, 1998;

60/446,222 filed July 28, 1999.

APPENDIX B

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Code of Federal Regulations, Section 1.56.

Lacknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37. Thereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate have a filing date before that of the application on which priority is claimed: Prior Foreign Application(s): **Priority Claimed** ű No Yes Country Day/Month/Year Filed Number Thereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below: See attached Appendix A (listing 18 U.S. Provisional Patent Applications) Application Ser. No. Filing Date Thereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner previded by the first paragraph of Title 35, United States Code, §112, Lacknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application: See Attached Appendix B (listing 19 U.S. and PCT Patent Applications) Application Ser. No. Filing Date Status: Patented, Pending, Abandoned Application Ser. No. Filing Date Status: Patented, Pending, Abandoned





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Inventor's signature	Date	
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Residence		
14006 Indian Run Drive, Darnestown, Maryland 20878		
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La contrada a la contrada	Data	
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Mary E. Gerritsen		
Inventor's signature	Date	
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Citizenship		
CAT:		
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Full name of seventh inventor		
Audrey Goddard		
Inventor's signature	Date	
·		
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Full name of fourteenth joint inventor, if any Margaret Ann Roy	
Inventor's signature	Date 17/23 (8)
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Citizenship	
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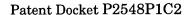
PCT/US00/08439 filed March 30, 2000;

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PCT/US00/20710 filed July 28, 2000;

PCT/US00/32678 filed December 1, 2000;

PCT/US01/06520 filed February 28, 2001.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Kevin P. Baker, et al.

Serial No.: Filed herewith

Filed: Filed herewith

For: Secreted and Transmembrane

Polypeptides and Nucleic Acids

Encoding the Same

Group Art Unit: Unknown

Examiner: Unknown



ASSOCIATE POWER OF ATTORNEY (37 CFR 1.34) AND CHANGE OF CORRESPONDENCE ADDRESS

BOX: Patent Application Assistant Commissioner of Patents Washington, D.C. 20231

Sir:

Please recognize as Associate Attorney in this case:

Ralph J. Gabric - Reg. No. 34,167

Paul E. Rauch, Ph.D - Reg. No. 38,591

K. Shannon Mrksich - Reg. No. 36,675

Please direct all communications relative to said pending patent application

to the following address:

Paul E. Rauch, Ph.D. Brinks, Hofer, Gilson & Lione NBC Tower - Suite 3600 455 N. Cityfront Plaza Drive Chicago, Illinois 60611-5599 Telephone: 312-321-4200

Facsimile: 312-321-4299

CUSTOMER NO: 28442



Respectfully submitted, GENENTECH, INC.

By:

Elizabeth/M. Barnes, Ph.D. Reg. No. 35,059 Telephone No. (650) 225-4563

Date: August <u>20</u>, 2001

PATENT TRADEMARK OFFICE

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inventor's certific	ate listed below and ha		tates Code, §119(a)-(d) of any foreign appli w any foreign application for patent or inven- laimed:		
Prief Foreign Ap	nlication(s):			Priority	/ Claimed
Ψ .E	plication(s).			Yes	No_
Number	Country	Day/Month/	Year Filed		
See attached Application Ser.		ing 18 U.S. Provis Filing Date	sional Patent Applications)		
as the subject ma provided by the fi defined in Title 3	atter of each of the clai irst paragraph of Title 3	ms of this application is 35, United States Code gulations, §1.56 which	120 of any United States applications(s) list not disclosed in the prior United States app , §112, I acknowledge the duty to disclose m n occurred between the filing date of the pri	olication in naterial inf	the manne ormation as
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Application Ser.		Filing Date	Status: Patented, Pending, A	Abandone	d
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Full name of sole or first inventor	
Kevin P. Baker	
Inventor's signature	Date 8/2/01
	8/2/01
Residence // /	• 1
14006 Indian Run Drive, Darnestown, Maryland 20878	
inch	
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GB##	
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	. Date
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My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

the specification of which (check one) $_{\cdot}$ is attached hereto or $_{\cdot}$ was filed on $_{\cdot}$ May 25, 2001 as Application Serial No. $_{\cdot}$ 09/866,028 and was amended on $_{\cdot}$ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

Lacknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56.

Thereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate have a filing date before that of the application on which priority is claimed: **Priority Claimed** Prier Foreign Application(s): No Yes Day/Month/Year Filed Country Number I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below: See attached Appendix A (listing 18 U.S. Provisional Patent Applications) Filing Date Application Ser. No. Thereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, Lacknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application: See Attached Appendix B (listing 19 U.S. and PCT Patent Applications) Status: Patented, Pending, Abandoned Filing Date Application Ser. No. Status: Patented, Pending, Abandoned Filing Date Application Ser. No.

09157
PATENT TRADEMARK OFFICE

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Attn: Elizabeth M. Barnes, Ph.D. Telephone: (650) 225-4461

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

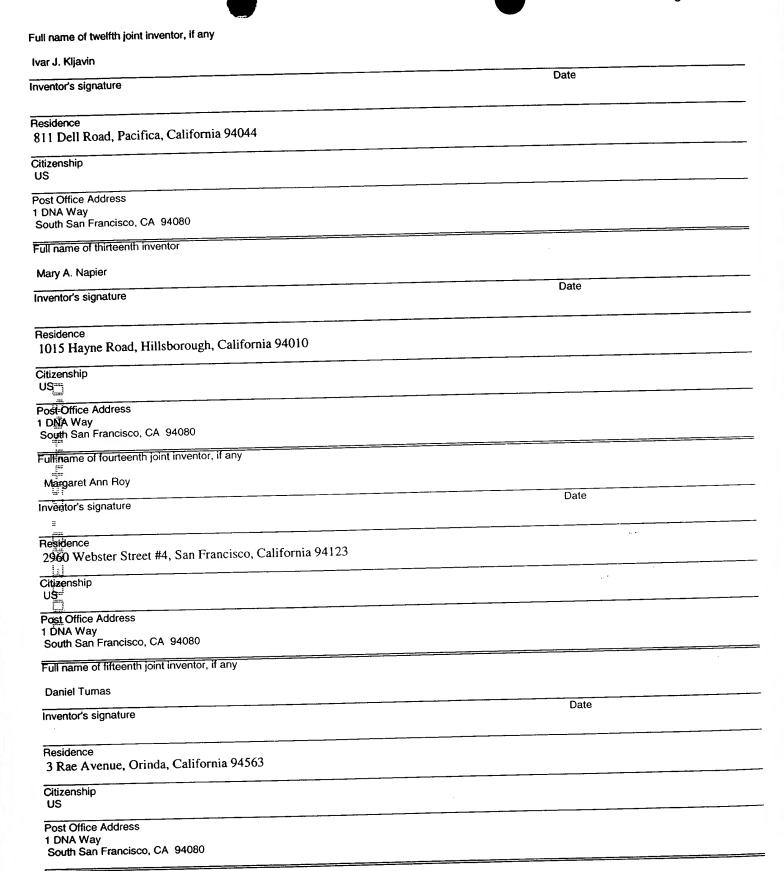
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David Botstein	
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Audrey Goddard	_
Inventor's signature	Date
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Post Office Address 1 DNA Way	
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Full name of eighth joint inventor, if any Paul J. Godowski Date Inventor's signature Residence 2627 Easton Drive, Burlingame, California 94010 Citizenship US Post Office Address 1 DNA Way South San Francisco, CA 94080 Full name of ninth joint inventor, if any J. Christopher Grimaldi Date Inventor's signature Residence 1434 36th Avenue, San Francisco, California 94122 Citizenship บระวั Post Office Address 1 DNA Way South San Francisco, CA 94080 Full-name of tenth inventor Austin L. Gumey Date Inventor's signature Residence 1 Debbie Lane, Belmont, California 94002 Citizenship Post Office Address 1 DNA Way South San Francisco, CA 94080 Full name of eleventh joint inventor, if any Kenneth J. Hillan Date Inventor's signature Residence 64 Seward Street, San Francisco, California 94114 Citizenship GB Post Office Address

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Full name of sixteenth inventor		
William I. Wood Inventor's signature	Date	
Residence 35 Southdown Court, Hillsborough, California 94010		
Citizenship US		
Post Office Address 1 DNA Way South San Francisco, CA 94080		

APPENDIX A

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications listed below:

60/067,411 filed December 3, 1997;

60/069,334 filed December 11, 1997;

60/069335 filed December 11, 1997;

60/069,278 filed December 11, 1997;

60/069,425 filed December 12, 1997;

60/069,696 filed December 16, 1997;

60/069,694 filed December 16, 1997;

60/069,702 filed December 16, 1997;

60/069,870 filed December 17, 1997;

60/069,873 filed December 17, 1997;

60/068,017 filed December 18, 1997;

60/970,440 filed January 5, 1998;

60/074,086 filed February 9, 1998;

60/674,092 filed February 9, 1998;

60/075,945 filed February 25, 1998;

60/112,850 filed December 16, 1998;

60/113,296 filed December 22, 1998;

60/146,222 filed July 28, 1999.

APPENDIX B

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PCT/US00/08439 filed March 30, 2000;

PCT/US00/14042 filed May 22, 2000;

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the specification of which (check one) $_{\rm L}$ is attached hereto or $_{\rm L}$ was filed on $_{\rm L}$ as Application Serial No. $_{\rm L}$ 09/866,028 and was amended on $_{\rm L}$ (if applicable).

ation which is material to the .56.	the above-identified specification, including the claims, as the examination of this application in accordance with Title 37, as Code, §119(a)-(d) of any foreign application(s) for patent or my foreign application for patent or inventor's certificate have a ned:
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	Priority Claimed
	<u>Yes</u> <u>No</u>
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35, United States Code, §1 egulations, §1.56 which of the of this application:	20 of any United States applications(s) listed below and, insofar of disclosed in the prior United States application in the manner 112, I acknowledge the duty to disclose material information as occurred between the filing date of the prior application and the
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or agent and the undersigned. In the event of a change in the person with the herein will be so notified by the undersigned.	
Full name of sole or first inventor	
Kevin P. Baker	Date
Inventor's signature	
##E. 	
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David Botstein	Date
Inventor's signature	
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Full name of third joint inventor, if any	
Dan L. Eaton Inventor's signature	Date
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Citizenship	
US	

name of forth inventor	
poleone Ferrara	Date V 🗸
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ll name of fifth joint inventor, if any	
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esidence 38 18 th Avenue, San Francisco, California 94121	
itizenship IS	
ost Office Address DiviA Way South San Francisco, CA 94080	
ullname of sixth joint inventor, if any	
Mary E. Gerritsen	Date
nventor's signature	8/6/01
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Citizenship CA	
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Full name of seventh inventor	
Audrey Goddard	Date
Inventor's eignature	8/1/01
Residence 110 Congo Street, San Francisco, California 94131	
Citizenship	

Full name of eighth joint inventor, if any Paul J. Godowski Inventor's sign Residence 2627 Easton Drive, Burlingame, California 94010 Citizenship US Post Office Address 1 DNA Way South San Francisco, CA 94080 Full name of ninth joint inventor, if any J. Christopher Grimaldi 8/4/2001 Inventoris signature Residence 1434 36th Avenue, San Francisco, California 94122 Citizenship US Post Office Address 1 DNA Way South San Francisco, CA 94080 Full pame of tenth inventor Austin L. Gurney Inventor's signature Residence 1 Debbie Lane, Belmont, California 94002 Citizenship บร่≕ Post Office Address 1 DNA Way South San Francisco, CA 94080 Full name of eleventh joint inventor, if any Kenneth J. Hillan Inventor's signature Residence 64 Seward Street, San Francisco, California 94114 Citizenship

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Inventor's signature	Date
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Cifizenship Uis	
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Full name of fifteenth joint inventor, Trany Daniel Tumas	9-71001
Inventor's signature	Date
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Citizenship US	
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Full name of sixteenth inventor

William I. Wood	
Inventor's rignature	Date
Residence 35 Southdown Court, Hillsborough, California 94010	
Citizenship US	
Post Office Address 1 DNA Way South San Francisco, CA 94080	

APPENDIX A

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As a below named inventor, I hereby declare that:

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10104 POINW 200 DX	106 9120 IOCHUNCO DOION ~.	es Code, §119(a)-(d) of any foreign application(s) for paten ny foreign application for patent or inventor's certificate hav ned:
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	ty to disclose informulations, Section priority benefits under Title 35 penefit under Title 35 paragraph of Title Code of Federal Remational filling data.	priority benefits under Title 35, United State listed below and have also identified below at of the application on which priority is clair ation(s): Country Day/Month/Ye nefit under Title 35, United States Code, §119 ppendix A (listing 18 U.S. Provision Filing Date enefit under Title 35, United States Code, §12 er of each of the claims of this application is not paragraph of Title 35, United States Code, § Code of Federal Regulations, §1.56 which compare the company of the code of Federal Regulations, §1.56 which company of the comp





POWER OF ATTORNEY: As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with the following Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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PATENT TRADEMARK OFFICE

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Attn: Elizabeth M. Barnes, Ph.D. Telephone: (650) 225-4461

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The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent agent as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

or agent and the undersigned. In the event of a change in the possible herein will be so notified by the undersigned.	
ull name of sole or first inventor	
Kevin P. Baker	Date
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Date
Date
Date
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Date
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Full name of eighth joint inventor, if any

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rentor's signature	
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627 Easton Drive, Burningame, Camorina	
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Christopher Grimaldi	D.U.
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US	
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Full-name of tenth inventor	
ges	
Austin L. Gurney	Date
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Full name of twelfth joint inventor, if any

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ventor's signature 07-25	0/
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itizenship IS	
ost Office Address	
DNA Way South San Francisco, CA 94080	
ull name of thirteenth inventor	
Mary A. Napier	Date
nventor's signature	
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Citizenship US-re-	
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Margaret Ann Roy	Date
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Inventor's signature	Date
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Full name of sixteenth inventor

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